

# **EXHIBIT A**

**FORM U-4**  
**UNIFORM APPLICATION FOR SECURITIES INDUSTRY**  
**REGISTRATION OR TRANSFER**

Rev. Form U-4 (03/2002)			
<b>1. GENERAL INFORMATION</b>			
<b>First Name:</b> STEVEN	<b>Middle Name:</b> SCOTT	<b>Last Name:</b> NOVICK	<b>Suffix:</b>
<b>Firm CRD #:</b> 6627	<b>Firm Name:</b> AXA ADVISORS, LLC	<b>Employment Date (MM/DD/YYYY):</b> 12/16/2002	<b>CRD Branch #:</b> 87
<b>Firm Billing Code:</b> MNB-583	<b>Individual CRD #:</b> 2187676	<b>Individual SSN:</b> <b>REDACTED</b>	
<b>Office of Employment Address Street 1:</b> 1633 BROADWAY 3RD FL			
<b>City:</b> NEW YORK	<b>State:</b> New York	<b>Country:</b>	<b>Postal Code:</b> 10019
<b>Private Residence Check Box:</b> If the Office of Employment address is a private residence, check this box. <input type="checkbox"/>			

Rev. Form U-4 (03/2002)
<b>2. FINGERPRINT INFORMATION</b>
<u>Electronic Filing Representation</u> <input checked="" type="radio"/> By selecting this option, I represent that I am submitting or promptly will submit to the appropriate SRO a fingerprint card as required under applicable SRO rules. Fingerprint card barcode
<u>Exceptions to the Fingerprint Requirement</u> <input type="radio"/> By selecting this option, I affirm that: <ul style="list-style-type: none"><li>• I have been employed continuously by the <i>filing firm</i> in an unregistered capacity since the last submission of a fingerprint card; or</li><li>• I am exempt from the fingerprint requirement because I meet one or more of the exemptions established by Rule 17f-2 under the Securities Exchange Act of 1934.</li></ul>
<u>Investment Adviser Representative Only Applicants</u> <input type="radio"/> I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied to become a broker-dealer representative. If this radio button/box is selected, continue below. <ul style="list-style-type: none"><li><input type="radio"/> I am applying for registration only in <i>jurisdictions</i> that do not have fingerprint card filing requirements, or</li><li><input type="radio"/> I am applying for registration in <i>jurisdictions</i> that have fingerprint card filing requirements and I am submitting the appropriate fingerprint card directly to the <i>jurisdictions</i> for processing.</li></ul>

Rev. Form U-4 (03/2002)									
<b>3. REGISTRATIONS WITH UNAFFILIATED FIRMS</b>									
<p>Some <i>jurisdictions</i> prohibit "dual registration," which occurs when an individual chooses to maintain a concurrent registration as a representative/agent with two or more <i>firms</i> (either BD or IA <i>firms</i>) that are not affiliated. <i>Jurisdictions</i> that prohibit dual registration would not, for example, permit a broker-dealer agent working with brokerage <i>firm</i> A to maintain a registration with brokerage <i>firm</i> B if <i>firms</i> A and B are not owned or controlled by a common parent. Before seeking a dual registration status, you should consult the applicable rules or statutes of the <i>jurisdictions</i> with which you seek registration for prohibitions on dual registrations or any liability provisions.</p> <p>Please indicate whether the individual will maintain a "dual registration" status by answering the questions in this section. (Note: An individual should answer 'yes' only if the individual is currently registered and is seeking registration with a <i>firm</i> (either BD or IA) that is not affiliated with the individual's current employing <i>firm</i>. If this is an initial application, an individual must answer 'no' to these questions; a "dual registration" may be initiated only after an initial registration has been established).</p> <p>Answer "yes" or "no" to the following questions:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 80%;"></td> <td style="text-align: right; width: 10%;"><b>Yes</b></td> <td style="text-align: right; width: 10%;"><b>No</b></td> </tr> <tr> <td><b>A.</b> Will <i>applicant</i> maintain registration with a broker-dealer that is not <i>affiliated</i> with the <i>filing firm</i>? If you answer "yes," list the <i>firm(s)</i> in Section 12 (Employment History).</td> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input checked="" type="radio"/></td> </tr> <tr> <td><b>B.</b> Will <i>applicant</i> maintain registration with an investment adviser that is not <i>affiliated</i> with the <i>filing firm</i>? If you answer "yes," list the <i>firm(s)</i> in Section 12 (Employment History).</td> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input checked="" type="radio"/></td> </tr> </table>		<b>Yes</b>	<b>No</b>	<b>A.</b> Will <i>applicant</i> maintain registration with a broker-dealer that is not <i>affiliated</i> with the <i>filing firm</i> ? If you answer "yes," list the <i>firm(s)</i> in Section 12 (Employment History).	<input type="radio"/>	<input checked="" type="radio"/>	<b>B.</b> Will <i>applicant</i> maintain registration with an investment adviser that is not <i>affiliated</i> with the <i>filing firm</i> ? If you answer "yes," list the <i>firm(s)</i> in Section 12 (Employment History).	<input type="radio"/>	<input checked="" type="radio"/>
	<b>Yes</b>	<b>No</b>							
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<b>4. SRO REGISTRATIONS</b>																																																																																								
<p style="text-align: center;"><b>Check appropriate SRO Registration requests.</b>  <b>Qualifying examinations will be automatically scheduled if needed. If you are only scheduling or re-scheduling an exam, skip this section and complete Section 7 (EXAMINATION REQUESTS).</b></p>																																																																																								
<table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <tr> <th style="text-align: left;">REGISTRATION CATEGORY</th> <th>NASD</th> <th>NYSE</th> <th>AMEX</th> <th>BSE</th> <th>CSE</th> <th>PCX</th> <th>CBOE</th> <th>CHX</th> <th>PHLX</th> <th>ISE</th> </tr> <tr> <td>OP - Registered Options Principal (S4)</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>IR - Investment Company and Variable Contracts Products Rep. (S6)</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>GS - Full Registration/General Securities Representative (S7)</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>TR - Securities Trader (S7)</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>TS - Trading Supervisor (S7)</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>SU - General Securities Sales Supervisor (S9 and S10)</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>BM - Branch Office Manager (S9 and S10)</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </table>	REGISTRATION CATEGORY	NASD	NYSE	AMEX	BSE	CSE	PCX	CBOE	CHX	PHLX	ISE	OP - Registered Options Principal (S4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IR - Investment Company and Variable Contracts Products Rep. (S6)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	GS - Full Registration/General Securities Representative (S7)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	TR - Securities Trader (S7)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	TS - Trading Supervisor (S7)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	SU - General Securities Sales Supervisor (S9 and S10)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	BM - Branch Office Manager (S9 and S10)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REGISTRATION CATEGORY	NASD	NYSE	AMEX	BSE	CSE	PCX	CBOE	CHX	PHLX	ISE																																																																														
OP - Registered Options Principal (S4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																																																														
IR - Investment Company and Variable Contracts Products Rep. (S6)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																																																														
GS - Full Registration/General Securities Representative (S7)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																																																														
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BM - Branch Office Manager (S9 and S10)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																																																														

SM - Securities Manager (S12)		<input type="checkbox"/>									
AR - Assistant Representative/Order Processing (S11)	<input type="checkbox"/>				<input type="checkbox"/>			<input type="checkbox"/>			
REGISTRATION CATEGORY	NASD	NYSE	AMEX	BSE	CSE	PCX	CBOE	CHX	PHLX	ISE	
IE - United Kingdom - Limited General Securities Registered Representative (S17)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
DR - Direct Participation Program Representative (S22)	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>			
GP - General Securities Principal (S24)	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>			
IP - Investment Company and Variable Contracts Products Principal (S26)	<input type="checkbox"/>				<input type="checkbox"/>						
FA - Foreign Associate	<input type="checkbox"/>										
FN - Financial and Operations Principal (S27)	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>			
FI - Introducing Broker-Dealer/Financial and Operations Principal (S28)	<input type="checkbox"/>				<input type="checkbox"/>			<input type="checkbox"/>			
DP - Direct Participation Program Principal (S39)	<input type="checkbox"/>				<input type="checkbox"/>			<input type="checkbox"/>			
OR - Options Representative (S42)	<input type="checkbox"/>			<input type="checkbox"/>				<input type="checkbox"/>			
REGISTRATION CATEGORY	NASD	NYSE	AMEX	BSE	CSE	PCX	CBOE	CHX	PHLX	ISE	
MR - Municipal Securities Representative (S52)	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>			
MP - Municipal Securities Principal (S53)	<input type="checkbox"/>				<input type="checkbox"/>			<input type="checkbox"/>			
CS - Corporate Securities Representative (S62)	<input type="checkbox"/>				<input type="checkbox"/>			<input type="checkbox"/>			
RG - Government Securities Representative (S72)	<input type="checkbox"/>										
PG - Government Securities Principal (S73)	<input type="checkbox"/>										
SA - Supervisory Analyst (S16)		<input type="checkbox"/>									
PR - Limited Representative - Private Securities Offerings (S82)	<input type="checkbox"/>										
CD - Canada-Limited General Securities Registered Representative (S37)	<input type="checkbox"/>	<input type="checkbox"/>					<input type="checkbox"/>				
CN - Canada-Limited General Securities Registered Representative (S38)	<input type="checkbox"/>	<input type="checkbox"/>					<input type="checkbox"/>				
REGISTRATION CATEGORY	NASD	NYSE	AMEX	BSE	CSE	PCX	CBOE	CHX	PHLX	ISE	
ET - Equity Trader (S55)	<input type="checkbox"/>				<input type="checkbox"/>						
AM - Allied Member		<input type="checkbox"/>	<input type="checkbox"/>								
AP - Approved Person		<input type="checkbox"/>	<input type="checkbox"/>								
LE - Securities Lending Representative		<input type="checkbox"/>									
LS - Securities Lending Supervisor		<input type="checkbox"/>									



ME - Member Exchange		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
FE - Floor Employee		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
OF - Officer		<input type="checkbox"/>			<input type="checkbox"/>					
CO - Compliance Official (S14)		<input type="checkbox"/>								
REGISTRATION CATEGORY	NASD	NYSE	AMEX	BSE	CSE	PCX	CBOE	CHX	PHLX	ISE
CF - Compliance Official Specialist (S14A)		<input type="checkbox"/>								
PM - Floor Member Conducting Public Business		<input type="checkbox"/>	<input type="checkbox"/>							
PC - Floor Clerk Conducting Public Business		<input type="checkbox"/>	<input type="checkbox"/>							
SC - Specialist Clerk (S21)		<input type="checkbox"/>								
TA - Trading Assistant (S25)		<input type="checkbox"/>								
SF - Single Stock Futures (S43)	<input type="checkbox"/>									
FP - Municipal Fund (S51)	<input type="checkbox"/>									
IF - In-Firm Delivery Proctor	<input type="checkbox"/>									
Other _____ (Paper Form Only)										

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### 5. JURISDICTION REGISTRATION

Check appropriate *jurisdiction(s)* for AG (Broker-Dealer Agent) and/or RA (Investment Adviser Representative) registration requests.

JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA
Alabama	<input type="checkbox"/>	<input type="checkbox"/>	Illinois	<input type="checkbox"/>	<input type="checkbox"/>	Montana	<input type="checkbox"/>	<input type="checkbox"/>	Puerto Rico	<input type="checkbox"/>	<input type="checkbox"/>
Alaska	<input type="checkbox"/>	<input type="checkbox"/>	Indiana	<input type="checkbox"/>	<input type="checkbox"/>	Nebraska	<input type="checkbox"/>	<input type="checkbox"/>	Rhode Island	<input type="checkbox"/>	<input type="checkbox"/>
Arizona	<input type="checkbox"/>	<input type="checkbox"/>	Iowa	<input type="checkbox"/>	<input type="checkbox"/>	Nevada	<input type="checkbox"/>	<input type="checkbox"/>	South Carolina	<input type="checkbox"/>	<input type="checkbox"/>
Arkansas	<input type="checkbox"/>	<input type="checkbox"/>	Kansas	<input type="checkbox"/>	<input type="checkbox"/>	New Hampshire	<input type="checkbox"/>	<input type="checkbox"/>	South Dakota	<input type="checkbox"/>	<input type="checkbox"/>
California	<input type="checkbox"/>	<input type="checkbox"/>	Kentucky	<input type="checkbox"/>	<input type="checkbox"/>	New Jersey	<input type="checkbox"/>	<input type="checkbox"/>	Tennessee	<input type="checkbox"/>	<input type="checkbox"/>
Colorado	<input type="checkbox"/>	<input type="checkbox"/>	Louisiana	<input type="checkbox"/>	<input type="checkbox"/>	New Mexico	<input type="checkbox"/>	<input type="checkbox"/>	Texas	<input type="checkbox"/>	<input type="checkbox"/>
Connecticut	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Maine	<input type="checkbox"/>	<input type="checkbox"/>	New York	<input type="checkbox"/>	<input type="checkbox"/>	Utah	<input type="checkbox"/>	<input type="checkbox"/>
Delaware	<input type="checkbox"/>	<input type="checkbox"/>	Maryland	<input type="checkbox"/>	<input type="checkbox"/>	North Carolina	<input type="checkbox"/>	<input type="checkbox"/>	Vermont	<input type="checkbox"/>	<input type="checkbox"/>
District of Columbia	<input type="checkbox"/>	<input type="checkbox"/>	Massachusetts	<input type="checkbox"/>	<input type="checkbox"/>	North Dakota	<input type="checkbox"/>	<input type="checkbox"/>	Virginia	<input type="checkbox"/>	<input type="checkbox"/>
Florida	<input type="checkbox"/>	<input type="checkbox"/>	Michigan	<input type="checkbox"/>	<input type="checkbox"/>	Ohio	<input type="checkbox"/>	<input type="checkbox"/>	Washington	<input type="checkbox"/>	<input type="checkbox"/>
Georgia	<input type="checkbox"/>	<input type="checkbox"/>	Minnesota	<input type="checkbox"/>	<input type="checkbox"/>	Oklahoma	<input type="checkbox"/>	<input type="checkbox"/>	West Virginia	<input type="checkbox"/>	<input type="checkbox"/>
Hawaii	<input type="checkbox"/>	<input type="checkbox"/>	Mississippi	<input type="checkbox"/>	<input type="checkbox"/>	Oregon	<input type="checkbox"/>	<input type="checkbox"/>	Wisconsin	<input type="checkbox"/>	<input type="checkbox"/>
Idaho	<input type="checkbox"/>	<input type="checkbox"/>	Missouri	<input type="checkbox"/>	<input type="checkbox"/>	Pennsylvania	<input type="checkbox"/>	<input type="checkbox"/>	Wyoming	<input type="checkbox"/>	<input type="checkbox"/>

AGENT OF THE ISSUER TERMINATION (AI) ☐ Indicate 2 letter *jurisdiction* code (s): \_\_\_\_\_

Rev. Form U-4 (03/2002)
<b>6. REGISTRATION REQUESTS WITH AFFILIATED FIRMS</b>
<p>Will <i>applicant</i> maintain registration with <i>firm(s)</i> under common ownership or control with the <i>filing firm</i>?</p> <p>If "yes", fill in the details to indicate a request for registration with additional <i>firm(s)</i>.</p> <p style="text-align: center;"> <input type="radio"/> Yes    <input checked="" type="radio"/> No                 </p>

No Information Filed

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<b>7. EXAMINATION REQUESTS</b>																																																
<p><b>Scheduling or Rescheduling Examinations</b> Complete this section only if you are scheduling or rescheduling an examination or continuing education session. Do <b>not</b> select the Series 63 or 65 examinations in this section if you have completed Section 5 (JURISDICTION REGISTRATION) and have selected registration in a <i>jurisdiction</i>. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested a Broker Dealer Agent (AG) registration in a <i>jurisdiction</i> that requires that you pass the Series 63 examination, a Series 63 examination will be automatically scheduled for you upon submission of this Form U-4. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an Investment Adviser Representative (RA) registration in a <i>jurisdiction</i> that requires that you pass the Series 65 examination, a Series 65 examination will be automatically scheduled for you upon submission of this Form U-4.</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 16.6%; vertical-align: top; padding: 2px;"><input type="checkbox"/> S3</td> <td style="width: 16.6%; vertical-align: top; padding: 2px;"><input type="checkbox"/> S11</td> <td style="width: 16.6%; vertical-align: top; padding: 2px;"><input type="checkbox"/> S22</td> <td style="width: 16.6%; vertical-align: top; padding: 2px;"><input type="checkbox"/> S32</td> <td style="width: 16.6%; vertical-align: top; padding: 2px;"><input type="checkbox"/> S51</td> <td style="width: 16.6%; vertical-align: top; padding: 2px;"><input type="checkbox"/> S72</td> </tr> <tr> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S4</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S12</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S24</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S33</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S52</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S73</td> </tr> <tr> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S5</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S14</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S25</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S37</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S53</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S82</td> </tr> <tr> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S6</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S14A</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S26</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S38</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S55</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S101</td> </tr> <tr> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S7</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S15</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S27</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S39</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S62</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S106</td> </tr> <tr> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S7A</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S16</td> <td style="vertical-align: top; padding: 2px;"><input type="checkbox"/> S28</td> <td style="vertical-align: top; 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Other \_\_\_\_\_ (Paper Form Only)

OPTIONAL: Foreign Exam City \_\_\_\_\_

Date (MM/DD/YYYY) \_\_\_\_\_

Rev. Form U-4 (03/2002)
<b>8. PROFESSIONAL DESIGNATIONS</b>
<p>Select each designation you currently maintain.</p> <p><input type="checkbox"/> <b>Certified Financial Planner</b></p> <p><input type="checkbox"/> <b>Chartered Financial Consultant (ChFC)</b></p> <p><input type="checkbox"/> <b>Personal Financial Specialist (PFS)</b></p> <p><input type="checkbox"/> <b>Chartered Financial Analyst (CFA)</b></p> <p><input type="checkbox"/> <b>Chartered Investment Counselor (CIC)</b></p>

Rev. Form U-4 (03/2002)
<b>9. IDENTIFYING INFORMATION/NAME CHANGE</b>

<b>First Name:</b> STEVEN	<b>Middle Name:</b> SCOTT	<b>Last Name:</b> NOVICK
<b>Suffix:</b>	<b>Date of Birth</b> (MM/DD/YYYY) <b>REDACTED</b>	
<b>State/Province of Birth</b> NEW YORK	<b>Country of Birth</b> UNITED STATES	<b>Sex</b> <input checked="" type="radio"/> Male <input type="radio"/> Female
<b>Height (ft)</b> 5	<b>Height (in)</b> 8	<b>Weight (lbs)</b> 185
<b>Hair Color</b> BROWN	<b>Eye Color</b> BROWN	

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<b>10. OTHER NAMES</b>
No Information Filed

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<b>11. RESIDENTIAL HISTORY</b>

Starting with the current address, give all addresses for the past 5 years. Report changes as they occur.

From	To	Street	City	State	Country	Postal Code
05/2000	PRESENT	REDACTED	REDACTED			06840
01/1997	05/2000	REDACTED	REDACTED			06840
04/1996	12/1996	REDACTED	REDACTED			10028
03/1991	04/1996	REDACTED	REDACTED			10028

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<b>12. EMPLOYMENT HISTORY</b>

Provide complete employment history for the past 10 years. Include the *firm(s)* noted in Section 1 (GENERAL INFORMATION) and Section 6 (REGISTRATION REQUESTS WITH AFFILIATED FIRMS). Include all *firm(s)* from Section 3 (REGISTRATION WITH UNAFFILIATED FIRMS). Account for all time including full and part-time employments, self employment, military service, and homemaking. Also include statuses such as unemployed, full-time education, extended travel, or other similar statuses. Report changes as they occur.

From	To	Name of Firm or Company	Investment-Related business?	City	State	Country	Position
12/2002		AXA ADVISORS	<input checked="" type="radio"/> Yes <input type="radio"/> No	NEW YORK	NY		FINANCIAL ADVISOR
07/2000	12/2002	DEAN WITTER REYNOLDS	<input checked="" type="radio"/> Yes <input type="radio"/> No	DARIEN	CT	UNITED STATES	SENIOR VICE PRESENT



04/1995	07/2000	PAINWEBBER INCORPORATED	<input checked="" type="radio"/> Yes <input type="radio"/> No	DARIEN	CT		UNKNCONV
12/1991	04/1995	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	<input checked="" type="radio"/> Yes <input type="radio"/> No	NEW YORK	NY		UNKNCONV
09/1991	12/1991	UNEMPLOYED	<input type="radio"/> Yes <input checked="" type="radio"/> No	NEW YORK	NY		UNEMPLOYED - UNEMPLOYED
09/1990	09/1991	MARX REALTY & IMPROVEMENT CO.	<input type="radio"/> Yes <input checked="" type="radio"/> No	NEW YORK	NY		OTHER - ASSISTANT V.P.
06/1989	09/1990	GOODSTEIN DEVELOPMENT CO.	<input type="radio"/> Yes <input checked="" type="radio"/> No	NEW YORK	NY		OTHER - PRESIDENT'S ASSISTANT

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### 13. OTHER BUSINESS

Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude non *investment-related* activity which is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.) If YES, please provide the following details: the name of the other business, whether the business is *investment-related*, the address of the other business, the nature of the other business, your position, title, or relationship with the other business, the start date of your relationship, the approximate number of hours/month you devote to the other business, the number of hours you devote to the other business during securities trading hours, and briefly describe your duties relating to the other business.

☐ Yes ☒ No

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### 14. DISCLOSURE QUESTIONS

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S)

REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U-4 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.

#### Criminal Disclosure

- 14A. (1) Have you ever:** **YES NO**
- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any *felony*? ☐ ☒
- (b) been *charged* with any *felony*? ☐ ☒
- (2) Based upon activities that occurred while you exercised control over it, has an organization ever:**
- (a) been convicted of or pled guilty or nolo contendere ('no contest') in a domestic or foreign court to any *felony*? ☐ ☒
- (b) been *charged* with any *felony*? ☐ ☒

**14B. (1) Have you ever:**



(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a <i>misdemeanor involving</i> : investments or an <i>investment-related</i> business or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?	<input type="radio"/>	<input checked="" type="radio"/>
(b) been <i>charged</i> with a <i>misdemeanor</i> specified in 14B(1)(a)?	<input type="radio"/>	<input checked="" type="radio"/>
<b>(2) Based upon activities that occurred while you exercised control over it, has an organization ever:</b>		
(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to a <i>misdemeanor</i> specified in 14B(1)(a)?	<input type="radio"/>	<input checked="" type="radio"/>
(b) been <i>charged</i> with a <i>misdemeanor</i> specified in 14B(1)(a)?	<input type="radio"/>	<input checked="" type="radio"/>
<b>Regulatory Disciplinary Actions</b>		
<b>14C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:</b>	<b>YES</b>	<b>NO</b>
(1) <i>found</i> you to have made a false statement or omission?	<input type="radio"/>	<input checked="" type="radio"/>
(2) <i>found</i> you to have been <i>involved</i> in a violation of its regulations or statutes?	<input type="radio"/>	<input checked="" type="radio"/>
(3) <i>found</i> you to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?	<input type="radio"/>	<input checked="" type="radio"/>
(4) entered an <i>order</i> against you in connection with <i>investment-related</i> activity?	<input type="radio"/>	<input checked="" type="radio"/>
(5) imposed a civil money penalty on you, or <i>ordered</i> you to cease and desist from any activity?	<input type="radio"/>	<input checked="" type="radio"/>
<b>14D. Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever:</b>		
(1) <i>found</i> you to have made a false statement or omission or been dishonest, unfair or unethical?	<input type="radio"/>	<input checked="" type="radio"/>
(2) <i>found</i> you to have been <i>involved</i> in a violation of <i>investment-related</i> regulation (s) or statute(s)?	<input type="radio"/>	<input checked="" type="radio"/>
(3) <i>found</i> you to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked or restricted?	<input type="radio"/>	<input checked="" type="radio"/>
(4) entered an <i>order</i> against you in connection with an <i>investment-related</i> activity?	<input type="radio"/>	<input checked="" type="radio"/>
(5) denied, suspended, or revoked your registration or license or otherwise, by <i>order</i> , prevented you from associating with an <i>investment-related</i> business or restricted your activities?	<input type="radio"/>	<input checked="" type="radio"/>
<b>14E. Has any self-regulatory organization or commodities exchange ever:</b>		
(1) <i>found</i> you to have made a false statement or omission?	<input type="radio"/>	<input checked="" type="radio"/>
(2) <i>found</i> you to have been <i>involved</i> in a violation of its rules (other than a violation designated as a " <i>minor rule violation</i> " under a plan approved by the U.S. Securities and Exchange Commission)?	<input type="radio"/>	<input checked="" type="radio"/>
(3) <i>found</i> you to have been the cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked or restricted?	<input type="radio"/>	<input checked="" type="radio"/>
(4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities?	<input type="radio"/>	<input checked="" type="radio"/>
<b>14F. Has your authorization to act as an attorney, accountant or federal contractor ever been revoked or suspended?</b>	<input type="radio"/>	<input checked="" type="radio"/>

<b>14G. Have you been notified, in writing, that you are now the subject of any:</b>	
(1) regulatory complaint or <i>proceeding</i> that could result in a "yes" answer to any part of 14C, D or E? ( <i>If yes, complete the Regulatory Action Disclosure Reporting Page.</i> )	<input type="radio"/> <input checked="" type="radio"/>
(2) <i>investigation</i> that could result in a "yes" answer to any part of 14A, B, C, D or E? ( <i>If yes, complete the Investigation Disclosure Reporting Page.</i> )	<input type="radio"/> <input checked="" type="radio"/>
<b>Civil Judicial Actions</b>	
<b>14H. (1) Has any domestic or foreign court ever:</b>	<b>YES NO</b>
(a) <i>enjoined</i> you in connection with any <i>investment-related</i> activity?	<input type="radio"/> <input checked="" type="radio"/>
(b) <i>found</i> that you were <i>involved</i> in a violation of any <i>investment-related</i> statute(s) or regulation(s)?	<input type="radio"/> <input checked="" type="radio"/>
(c) dismissed, pursuant to a settlement agreement, an <i>investment-related</i> civil action brought against you by a state or <i>foreign financial regulatory authority</i> ?	<input type="radio"/> <input checked="" type="radio"/>
(2) Are you named in any pending <i>investment-related</i> civil action that could result in a "yes" answer to any part of 14H(1)?	<input type="radio"/> <input checked="" type="radio"/>
<b>Customer Complaints</b>	
<b>14I. (1) Have you ever been named as a respondent/defendant in an <i>investment-related</i>, consumer-initiated arbitration or civil litigation which alleged that you were <i>involved</i> in one or more <i>sales practice violations</i> and which:</b>	<b>YES NO</b>
(a) is still pending, or;	<input type="radio"/> <input checked="" type="radio"/>
(b) resulted in an arbitration award or civil judgment against you, regardless of amount, or;	<input type="radio"/> <input checked="" type="radio"/>
(c) was settled for an amount of \$10,000 or more?	<input type="radio"/> <input checked="" type="radio"/>
(2) Have you ever been the subject of an <i>investment-related</i> , consumer-initiated complaint, not otherwise reported under question 14I(1) above, which alleged that you were <i>involved</i> in one or more <i>sales practice violations</i> , and which complaint was settled for an amount of \$10,000 or more?	<input type="radio"/> <input checked="" type="radio"/>
(3) Within the past twenty four (24) months, have you been the subject of an <i>investment-related</i> , consumer-initiated, written complaint, not otherwise reported under question 14I(1) or (2) above, which:	
(a) alleged that you were <i>involved</i> in one or more <i>sales practice violations</i> and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the complaint must be reported unless the firm has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or;	<input checked="" type="radio"/> <input type="radio"/>
(b) alleged that you were <i>involved</i> in forgery, theft, misappropriation or conversion of funds or securities?	<input type="radio"/> <input checked="" type="radio"/>
<b>Terminations</b>	
<b>14J. Have you ever voluntarily <i>resigned</i>, been discharged or permitted to <i>resign</i> after allegations were made that accused you of:</b>	<b>YES NO</b>
(1) violating <i>investment-related</i> statutes, regulations, rules, or industry standards of conduct?	<input type="radio"/> <input checked="" type="radio"/>
(2) fraud or the wrongful taking of property?	<input type="radio"/> <input checked="" type="radio"/>

(3) failure to supervise in connection with <i>investment-related</i> statutes, regulations, rules or industry standards of conduct?	<input type="radio"/> <input checked="" type="radio"/>
<b>Financial</b>	
<b>14K. Within the past 10 years:</b>	<b>YES NO</b>
(1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?	<input type="radio"/> <input checked="" type="radio"/>
(2) based upon events that occurred while you exercised <i>control</i> over it, has an organization made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?	<input type="radio"/> <input checked="" type="radio"/>
(3) based upon events that occurred while you exercised <i>control</i> over it, has a broker or dealer been the subject of an involuntary bankruptcy petition, or had a trustee appointed, or had a direct payment procedure initiated under the Securities Investor Protection Act?	<input type="radio"/> <input checked="" type="radio"/>
<b>14L. Has a bonding company ever denied, paid out on, or revoked a bond for you?</b>	<input type="radio"/> <input checked="" type="radio"/>
<b>14M. Do you have any unsatisfied judgments or liens against you?</b>	<input type="radio"/> <input checked="" type="radio"/>

Rev. Form U-4 (03/2002)
<b>15. SIGNATURE SECTION</b>
<p>Please Read Carefully</p> <p>All signatures required on this Form U-4 filing must be made in this section.</p> <p>A "signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.</p> <p><b>15A INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT</b>                  This section must be completed on all initial or Temporary Registration form filings.</p> <p><b>15B FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS</b>                  This section must be completed on all initial or Temporary Registration form filings.</p> <p><b>TEMPORARY REGISTRATION ACKNOWLEDGMENT</b></p> <p><b>15C</b> This section must be completed on Temporary Registration form filings to be able to receive Temporary registration.</p> <p><b>INDIVIDUAL/APPLICANT'S AMENDMENT ACKNOWLEDGMENT AND CONSENT</b></p> <p><b>15D</b> This section must be completed on any amendment filing that amends any information in Section 14 (Disclosure Questions) or any Disclosure Reporting Page (DRP).</p> <p><b>15E FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS</b>                  This section must be completed on all amendment form filings.</p> <p><b>FIRM/APPROPRIATE SIGNATORY CONCURRENCE</b></p> <p><b>15F</b> This section must be completed to concur with a U4 filing made by another <i>firm</i> (IA/BD) on behalf of an individual that is also registered with that other <i>firm</i> (IA/BD).</p>
<b>15A. INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT</b>

1. I swear or affirm that I have read and understand the items and instructions on this form and that my answers (including attachments) are true and complete to the best of my knowledge. I understand that I am subject to administrative, civil or criminal penalties if I give false or misleading answers.  
I apply for registration with the *jurisdictions* and *SROs* indicated in Section 4 (SRO REGISTRATION) and Section 5 (JURISDICTION REGISTRATION) as may be amended from time to time and, in consideration of the *jurisdictions* and *SROs* receiving and considering my application, I submit to the authority of the *jurisdictions* and *SROs* and agree to comply with
2. all provisions, conditions and covenants of the statutes, constitutions, certificates of incorporation, by-laws and rules and regulations of the *jurisdictions* and *SROs* as they are or may be adopted, or amended from time to time. I further agree to be subject to and comply with all requirements, rulings, orders, directives and decisions of, and penalties, prohibitions and limitations imposed by the *jurisdictions* and *SROs*, subject to right of appeal or review as provided by law.  
I agree that neither the *jurisdictions* or *SROs* nor any person acting on their behalf shall be
3. liable to me for action taken or omitted to be taken in official capacity or in the scope of employment, except as otherwise provided in the statutes, constitutions, certificates of incorporation, by-laws or the rules and regulations of the *jurisdictions* and *SROs*.  
I authorize the *jurisdictions*, *SROs*, and the *designated entity* to give any information they may have concerning me to any employer or prospective employer, any federal, state or
4. municipal agency, or any other *SRO* and I release the *jurisdictions*, *SROs*, and the *designated entity*, and any person acting on their behalf from any and all liability of whatever nature by reason of furnishing such information.  
I agree to arbitrate any dispute, claim or controversy that may arise between me and my
5. *firm*, or a customer, or any other person, that is required to be arbitrated under the rules, constitutions, or by-laws of the *SROs* indicated in Section 4 (SRO REGISTRATION) as may be amended from time to time and that any arbitration award rendered against me may be entered as a judgment in any court of competent *jurisdiction*.  
For the purpose of complying with the laws relating to the offer or sale of securities or commodities or investment advisory activities, I irrevocably appoint the administrator of each *jurisdiction* indicated in Section 5 (JURISDICTION REGISTRATION) as may be amended from time to time, or such other person designated by law, and the successors in such office, my attorney upon whom may be served any notice, process, pleading, subpoena or other document in any action or *proceeding* against me arising out of or in connection with the
6. offer or sale of securities or commodities, or investment advisory activities or out of the violation or alleged violation of the laws of such *jurisdictions*. I consent that any such action or *proceeding* against me may be commenced in any court of competent *jurisdiction* and proper venue by service of process upon the appointee as if I were a resident of, and had been lawfully served with process in the *jurisdiction*. I request that a copy of any notice, process, pleading, subpoena or other document served hereunder be mailed to my current residential address as reflected in this form or any amendment thereto.  
I consent that the service of any process, pleading, subpoena, or other document in any
7. *investigation* or administrative *proceeding* conducted by the SEC, CFTC or a *jurisdiction* or in any civil action in which the SEC, CFTC or a *jurisdiction* are plaintiffs, or the notice of any *investigation* or *proceeding* by any *SRO* against the *applicant*, may be made by personal service or by regular, registered or certified mail or confirmed telegram to me at my most recent business or home address as reflected in this Form U-4, or any amendment thereto, by leaving such documents or notice at such address, or by any other legally permissible means.  
I further stipulate and agree that any civil action or administrative *proceeding* instituted by the SEC, CFTC or a *jurisdiction* may be commenced by the service of process as described



herein, and that service of an administrative subpoena shall be effected by such service, and that service as aforesaid shall be taken and held in all courts and administrative tribunals to be valid and binding as if personal service thereof had been made.

8. I authorize all my employers and any other person to furnish to any *jurisdiction, SRO, designated entity*, employer, prospective employer, or any agent acting on its behalf, any information they have, including without limitation my creditworthiness, character, ability, business activities, educational background, general reputation, history of my employment and, in the case of former employers, complete reasons for my termination. Moreover, I release each employer, former employer and each other person from any and all liability, of whatever nature, by reason of furnishing any of the above information, including that information reported on the Uniform Termination Notice for Securities Industry Registration (Form U-5). I recognize that I may be the subject of an investigative consumer report and waive any requirement of notification with respect to any investigative consumer report ordered by any *jurisdiction, SRO, designated entity*, employer, or prospective employer. I understand that I have the right to request complete and accurate disclosure by the *jurisdiction, SRO, designated entity*, employer or prospective employer of the nature and scope of the requested investigative consumer report.

9. I understand and certify that the representations in this form apply to all employers with whom I seek registration as indicated in Section 1 (GENERAL INFORMATION) or Section 6 (REGISTRATION REQUESTS WITH AFFILIATED FIRMS) of this form. I agree to update this form by causing an amendment to be filed on a timely basis whenever changes occur to answers previously reported. Further, I represent that, to the extent any information previously submitted is not amended, the information provided in this form is currently accurate and complete.

10. I authorize any employer or prospective employer to file electronically on my behalf any information required in this form or any amendment thereto; I certify that I have reviewed and approved the information to be submitted to any *jurisdiction or SRO* on this Form U-4 Application; I agree that I will review and approve all disclosure information that will be filed electronically on my behalf; I further agree to waive any objection to the admissibility of the electronically filed records in any criminal, civil, or administrative *proceeding*.

*Applicant* or *applicant's* agent has typed *applicant's* name under this section to attest to the completeness and accuracy of this record. The *applicant* recognizes that this typed name constitutes, in every way, use or aspect, his or her legally binding signature.

Date (MM/DD/YYYY)  
12/16/2002

Signature of *Applicant*  
STEVEN SCOTT NOVICK  
Signature

#### 15B. FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS

To the best of my knowledge and belief, the *applicant* is currently bonded where required, and, at the time of approval, will be familiar with the statutes, constitution(s), rules and by-laws of the agency, *jurisdiction* or *SRO* with which this application is being filed, and the rules governing registered persons, and will be fully qualified for the position for which application is being made herein. I agree that, notwithstanding the approval of such agency, *jurisdiction* or *SRO* which hereby is requested, I will not employ the *applicant* in the capacity stated herein without first receiving the approval of any authority that may be required by law.

This *firm* has communicated with all of the *applicant's* previous employers for the past three years and has documentation on file with the names of the persons contacted and the date of contact. In addition, I have taken appropriate steps to verify the accuracy and completeness of the information contained in and with this application.

I have provided the *applicant* an opportunity to review the information contained herein and the *applicant* has approved this information and signed the Form U-4.

Date (MM/DD/YYYY)  
12/16/2002

Signature of *Appropriate Signatory*  
GEMME GUY

Printed Name \_\_\_\_\_

#### 15C. TEMPORARY REGISTRATION ACKNOWLEDGMENT

If an *applicant* has been registered in a *jurisdiction* or *self regulatory organization (SRO)* in the 30 days prior to the date an application for registration is filed with the Central Registration Depository or Investment Adviser Registration Depository, he or she may qualify for a Temporary Registration to conduct securities business in that *jurisdiction* or *SRO* if this acknowledgment is executed and filed with the Form U-4 at the *applicant's firm*.

This acknowledgment must be signed only if the *applicant* intends to apply for a Temporary Registration while the application for registration is under review.

I request a Temporary Registration in each *jurisdiction* and/or *SRO* requested on this Form U-4, while my registration with the *jurisdiction(s)* and/or *SRO(s)* requested is under review;

I am requesting a Temporary Registration with the *firm* filing on my behalf for the *jurisdiction(s)* and/or *SRO(s)* noted in Section 4 (SRO REGISTRATION) and/or Section 5 (JURISDICTION REGISTRATION) of this Form U-4;

I understand that I may request a Temporary Registration only in those *jurisdiction(s)* and/or *SRO(s)* in which I have been registered with my prior *firm* within the previous 30 days;

I understand that I may not engage in any securities activities requiring registration in a *jurisdiction* and/or *SRO* until I have received notice from the CRD or IARD that I have been granted a Temporary Registration in that *jurisdiction* and/or *SRO*;

I agree that until the Temporary Registration has been replaced by a registration, any *jurisdiction* and/or *SRO* in which I have applied for registration may withdraw the Temporary Registration;

If a *jurisdiction* or *SRO* withdraws my Temporary Registration, my application will then be held pending in that *jurisdiction* and/or *SRO* until its review is complete and the registration is granted or denied, or the application is withdrawn;

I understand and agree that, in the event my Temporary Registration is withdrawn by a *jurisdiction* and/or *SRO*, I must immediately cease any securities activities requiring a registration in that *jurisdiction* and/or *SRO* until it grants my registration;

I understand that by executing this Acknowledgment I am agreeing not to challenge the withdrawal of a Temporary Registration; however, I do not waive any right I may have in any *jurisdiction* and/or *SRO* with respect to any decision by that *jurisdiction* and/or *SRO* to deny my application for registration.

Date (MM/DD/YYYY)  
12/16/2002

Signature of *Applicant*  
STEVEN SCOTT NOVICK

Printed Name \_\_\_\_\_

Rev. Form U-4 (03/2002)

CRIMINAL DRP

No Information Filed

Rev. Form U-4 (03/2002)
<b>REGULATORY ACTION DRP</b>
No Information Filed
Rev. Form U-4 (03/2002)
<b>CIVIL JUDICIAL DRP</b>
No Information Filed
Rev. Form U-4 (03/2002)
<b>CUSTOMER COMPLAINT DRP</b>

This Disclosure Reporting Page is an ☐ INITIAL OR ☒ AMENDED response to report details for affirmative response to **Question 14I** on Form U-4;

**Check question(s) you are responding to:**

**Customer Complaint**

☐ 14I(1)(a) ☐ 14I(1)(b) ☐ 14I(1)(c) ☐ 14I(2) ☒ 14I(3)(a) ☐ 14I(3)(b)

One event may result in more than one affirmative answer to the above items. Use only one DRP to report details related to one customer complaint. Use a separate DRP for each customer complaint.

1. Customer Name(s):  
JERRY MARGULIES

2. Customer(s) State of Residence:  
Pennsylvania  
Other state(s) of residence/detail:

3. Employing *Firm* when activities occurred which led to the complaint:  
MORGAN STANLEY DW INC. / UBS PAINWEBBER

4. Date Complaint was received (MM/DD/YYYY):  
05/29/2002 ☐ Exact ☒ Explanation  
If not exact, provide explanation:  
COMPLAINT RECEIVED BY FIRM BY EMAIL ON MAY 20, 2002, RECEIVED IN LAW ON MAY 29, 2002.

5. Allegation(s) and a brief summary of events related to the allegation(s) including dates when activities leading to the allegation(s) occurred:  
CUSTOMER ALLEGES THAT, FROM APPROXIMATELY MAY 1998 TO MAY 2002, BROKER RECOMMENDED UNSUITABLE SECURITIES AND FAILED TO ADVISE CLIENT TO LIQUIDATE ALLEGEDLY VOLATILE AS THE MARKET DECLINED. BROKER DENIES ALL ALLEGATIONS OF WRONGDOING AND ASSERTS THAT HE COMPLIED WITH CUSTOMER'S INVESTMENT GOALS AND INSTRUCTIONS.

6. Principal Product Type:  
Equity Listed (Common & Preferred Stock)  
Other Product Types:

7. Alleged Compensatory Damage Amount: \$ 300000.00

8. Is complaint pending? ☒ Yes ☐ No

9. If the complaint is not pending, provide status: If status is settlement, complete questions 11 and 12; If status is arbitration/reparation, complete questions 13-19; If status is litigation, complete questions 20-27. Complete question 28 for all statuses.  <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Closed/No Action  <input type="checkbox"/> Settled                 </div> <div> <input type="checkbox"/> Withdrawn  <input type="checkbox"/> Arbitration/Reparation                 </div> <div> <input type="checkbox"/> Denied  <input type="checkbox"/> Litigation                 </div> </div>	
10. Status Date (MM/DD/YYYY): <div style="display: flex; justify-content: space-between;"> <input type="radio"/> Exact                 <input type="radio"/> Explanation                 </div> If not exact, provide explanation:	
11. Settlement Amount (if settled without Arbitration, Litigation or \$ Reparation):	
12. Individual Contribution Amount: \$	
<b>IF ARBITRATION OR CFTC REPARATION</b>	
13. Arbitration/Reparation claim filed with (NASD, AAA, NYSE, CBOE, CFTC, etc.) and Docket/Case Number:	
14. Date notice/process was served (MM/DD/YYYY): <div style="display: flex; justify-content: space-between;"> <input type="radio"/> Exact                 <input type="radio"/> Explanation                 </div> If not exact, provide explanation:	
15. Is arbitration/reparation pending? <input type="radio"/> Yes <input type="radio"/> No	
16. If the arbitration is not pending, what was the disposition?	
17. Disposition Date (MM/DD/YYYY): <div style="display: flex; justify-content: space-between;"> <input type="radio"/> Exact                 <input type="radio"/> Explanation                 </div> If not exact, provide explanation:	
18. Amount of Monetary Compensation (award, settlement, \$ reparation amount):	
19. Individual Contribution Amount: \$	
<b>IF CIVIL LITIGATION</b>	
20. Court that case was filed in (include name of Federal, Military, State or Foreign Court, Location of Court - City or County and State or Country, Docket/Case number).	
21. Date notice/process was served (MM/DD/YYYY): <div style="display: flex; justify-content: space-between;"> <input type="radio"/> Exact                 <input type="radio"/> Explanation                 </div> If not exact, provide explanation:	
22. Is the civil litigation pending? <input type="radio"/> Yes <input type="radio"/> No	



23. If the civil litigation is not pending, what was the disposition?
24. Disposition Date (MM/DD/YYYY): <input type="radio"/> <b>Exact</b> <input type="radio"/> <b>Explanation</b> If not exact, provide explanation:
25. Amount of Monetary Compensation (judgment, restitution, settlement amount):      \$
26. Individual Contribution Amount:      \$
27. If the action is currently on appeal enter date appeal filed (MM/DD/YYYY): <input type="radio"/> <b>Exact</b> <input type="radio"/> <b>Explanation</b> If not exact, provide explanation:
28. Provide details as to dispositions, including any limits or conditions. (Your information must fit within the space provided.)

Rev. Form U-4 (03/2002)
<b>TERMINATION DRP</b>
No Information Filed
Rev. Form U-4 (03/2002)
<b>INVESTIGATION DRP</b>
No Information Filed
Rev. Form U-4 (03/2002)
<b>BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP</b>
No Information Filed
Rev. Form U-4 (03/2002)
<b>BOND DRP</b>
No Information Filed
Rev. Form U-4 (03/2002)
<b>JUDGMENT LIEN DRP</b>
No Information Filed